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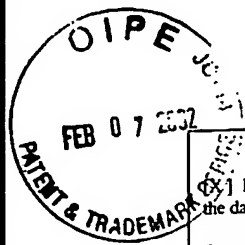
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after filing)  Total number of Pages in this submission      9	Application Number	10/017,327
	Filing Date	December 6, 2001
	First Named Inventor	Charles A. NICOLETTE
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
	Attorney Docket No.	GZ 2101.20

Commissioner for Patents  
Washington, D.C. 20231

ENCLOSURES (check all that apply)		
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<input checked="" type="checkbox"/> INFORMATION DISCLOSURE STATEMENT W/1449	<input type="checkbox"/> TO CONVERT A PROVISIONAL APPLICATION	<input type="checkbox"/> PROPRIETARY INFORMATION
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MCCUTCHEN, DOYLE, BROWN & ENERSEN LLP THREE EMBARCADERO CENTER, SUITE 1800 SAN FRANCISCO, CA 94111 TELEPHONE: (650) 849-4936 FACSIMILE: (650) 849-4800	DATE: JANUARY 15, 2002 BY: <u>Antoinette F. Konski</u> ANTOINETTE F. KONSKI (REG. NO. 34,202) MICHELE TODD WASMUTH (REG. NO. 43,239)	
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## Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):

Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

Dated: January 15, 2002Name of Person Certifying: Jocelyn L. Lee

Printed Name: Jocelyn L. Lee

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application for:

Charles A. Nicolette

Serial No.: 10/017,327

Filing Date: December 6, 2001

For: COMPOUNDS FOR THERAPY AND  
DIAGNOSIS AND METHODS FOR  
USING SAME

Examiner: Unassigned

Group Art Unit: Unassigned

Commissioner for Patents  
Washington, D.C. 20231

## INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. § 1.56, the references listed on the attached Form PTO-1449 are being brought to the attention of the Examiner for consideration in connection with the examination of the above-identified patent application.

## I. Timing of the Information Disclosure Statement:

This Information Disclosure Statement is filed:

- ☐ With the new patent application submitted herewith (37 C.F.R. § 1.97(a)).
- ☒ Within three months after the filing date of the application or within three months after the date of entry of the national stage of a PCT application as set forth in 37 C.F.R. § 1.491.
- ☐ Before the mailing date of a first Office action on the merits. In the event, however, that an Office Action has crossed in the mail with this Information Disclosure Statement, the Commissioner is hereby authorized to charge Deposit Account No. 50-1189 for any fees required pursuant to 37 C.F.R. §§ 1.17(p) or 1.17(i)(1).

This Information Disclosure Statement is filed:

- ☐ After the first Office Action and more than three months after the application's filing date; or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first, and the Commissioner is hereby authorized to charge Deposit Account No. 50-1189 for the fee (\$180) set forth in 37 C.F.R. § 1.17(p) and any additional required fees.

This Information Disclosure Statement is filed:

- ☐ After the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and is accompanied by the fee (\$180.00) set forth in 37 C.F.R. § 1.17(i)(1) and a certification as specified in 37 C.F.R. § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the Information Disclosure Statement.

The undersigned certifies that:

- ☐ Each item of information contained in the Information Disclosure Statement was first cited in any communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

## II. Copies of the Cited Items:

- ☐ Copies of all of the items listed on the attached Form PTO-1449 are enclosed.
- ☐ Copies of only the following items listed on the attached Form PTO-1449 are enclosed: \_\_\_\_\_.
- ☒ Copies of all items in the attached Form PTO-1499 are not supplied because they were previously cited by or submitted to the Patent Office in a prior Application No. 09/870,216, filed May 30, 2001 and relied upon in this application for an earlier filing date under 35 U.S.C § 120. See 37 C.F.R. § 1.98(d).
- ☐ Copies of those items which are marked with an asterisk (\*\*) in the attached Form PTO-1499 were cited in a foreign examination report in a related case. A copy of the search report and the cited references not already of record in this application are attached hereto.

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Serial No. 10/017,327  
GZ Ref.: 5028US P1

### III. Concise Explanation of Relevance:

- ☒ A concise explanation of relevance of the items listed on Form PTO-1449 is not given.
- ☐ A concise explanation of relevance of [some of] the items listed on Form PTO-1449 is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references (copy attached).

### IV. Conclusion:

Citation of the above documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

It is respectfully requested that the Examiner indicate consideration of the cited references by returning a copy of the attached form PTO 1449 with initials or other appropriate marks.

The Commissioner is hereby authorized to charge Deposit Account No. 50-1189, Billing Ref.: 19442-7247 for any additional fees required in connection with the filing of this Information Disclosure Statement.

DATE:

Jan. 15, 2002

Respectfully submitted,

By:

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Form PTO-1449	Docket No. GZ 2101.20	Appl. No. 10/017,327
INFORMATION DISCLOSURE STATEMENT	Applicant(s) Charles A. NICOLETTE	
(use several sheets if necessary)	Filing Date: December 6, 2001	Group Art Unit: Not Yet Assigned

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date (if appropriate)
	1.	07/28/87	4,683,195	Mullis et al.			
	2.	07/28/87	4,683,202	Mullis			
	3.	06/28/88	4,754,065	Levenson et al.			
	4.	01/24/89	4,800,159	Mullis et al.			
	5.	08/08/95	5,440,013	Kahn			
	6.	11/17/98	5,837,249	Heber-Katz et al.			

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Translation YES NO
	7.	08/01/96	WO 96/23060	The Government of the United States of America			

## OTHER DOCUMENTS

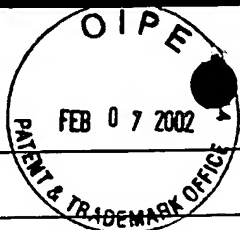
(including author, title, date, pertinent pages, etc.)

Examiner Initials	Ref No.	Title
	8.	Altman, J.D. et al., "Phenotypic analysis of antigen-specific T lymphocytes" (1996) <i>Science</i> 274(5284):94-96
	9.	Bertoni, R. et al., "Human class I supertypes and CTL repertoires extend to chimpanzees" (1998) <i>J. Immunol.</i> 161:4447-4455
	10.	Boczkowski, D. et al., "Dendritic cells pulsed with RNA are potent antigen-presenting cells in vitro and in vivo" (1996) <i>J. Exp. Med.</i> 184:465-472
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	16.	Culver, K. et al., "Lymphocytes as cellular vehicles for gene therapy in mouse and man" (1991) <i>PNAS USA</i> 88:3155-3159
	17.	Dharanipragada, R. et al., "The absolute configuration of an intermediate in the asymmetric synthesis of unusual amino acids" (1992) <i>Acta. Cryst.</i> C48:1239-1241
	18.	Dharanipragada, R. et al., "Synthetic linear and cyclic glucagon antagonists" (1993) <i>Int. J. Peptide Protein Res.</i> 42(1):68-77

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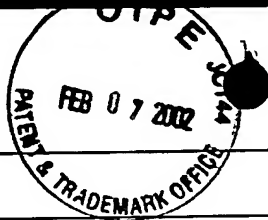


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19.	DiMaio, J. et al., "Synthesis of chiral piperazin-2-ones as model peptidomimetics" (1989) <i>J. Chem. Soc. Perkin Trans. 1</i> (9):1687-1689		
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21.	Ferguson, et al. "Cell-surface anchoring of proteins via glycosyl-phosphatidylinositol structures" (1988) <i>Ann. Rev. Biochem.</i> 57:285-320		
22.	Fujihashi, K. et al., "Cytokine-specific ELISPOT assay single cell analysis of IL-2, IL-4 and IL-6 producing cells" (1993) <i>J. Immunol. Meth.</i> 160:181-189		
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32.	Kazmierski, W.M. et al., "Topographic design of peptide neurotransmitters and hormones on stable backbone templates: relation of conformation and dynamics to bioactivity" (1991) <i>J. Am. Chem. Soc.</i> 113:2275-2283		
33.	Kemp, D.S. and P.E. McNamara, "Conformationally restricted cyclic nonapeptides derived from L-cysteine and LL-3-amino-2-piperidone-6-carboxylic acid (LL-Acp), a potent $\beta$ -turn-inducing dipeptide analogue" (1985) <i>J. Org. Chem.</i> 50:5834-5838		
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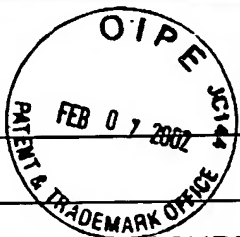


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(use several sheets if necessary)			
36.	Kemp, D.S. and T.P. Curran, "....."(2, 5S, 8S, 11S)-1-acetyl-1, 4-diaza-3-keto-5-carboxy-10-thia-tricyclo-[2.8.0 <sup>4,8</sup> ]-ridecane, 1 the preferred conformation of 1 (1=αtemp-OH) and its peptide conjugates αtemp-L-(Ala) <sub>n</sub> -OR (n=1 to 4) and α-temp -L-Ala-L-Phe-Lys(εBoc)-L-Lys(ε-Boc)-NHMe studies of templates for α-helix formation" (1988) <i>Tetrahedron Lett.</i> <b>29(39)</b> :4935-4938		
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46.	Paglia, P. et al., "Murine dendritic cells loaded in vitro with soluble protein prime cytotoxic T lymphocytes against tumor antigen in vivo" (1996) <i>J. Exp. Med.</i> <b>183</b> :317-322		
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48.	Parker, et al., "Sequence motifs important for peptide binding to the human MHC class I molecule, HLA-A2" (1992) <i>J. Immunol.</i> <b>149(11)</b> :3580-3587		
49.	Parker, K.C. et al. (1995) "Peptide Binding to MHC Class I Molecules: Implications for Antigenic Peptide Prediction" <i>Immunol. Res.</i> <b>14</b> :34-57		
50.	Parkhurst, M.R. et al., "Improved induction of melanoma-reactive CTL with peptides from the melanoma antigen gp100 modified at HLA-A*0201-binding residues" (1996) <i>J. Immunol.</i> <b>157</b> :2539-2548		
51.	al-Ramadi, B.K. et al., "Lack of strict correlation of functional sensitization with the apparent affinity of MHC/peptide complexes for the TCR" (1992) <i>J. Immunol.</i> <b>155(2)</b> :662-673		
52.	Rill, D.R. et al., "An approach for the analysis of relapse and marrow reconstitution after autologous marrow transplantation using retrovirus-mediated gene transfer" (1992) <i>Blood</i> <b>79(10)</b> :2694-2700		
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55.	Samanen, J. et al., "5,5-dimethylthiazolidine-4-carboxylic acid (DTC) as a proline analog with restricted conformation" (1990) <i>Int. J. Peptide Protein Res.</i> 35:501-509		
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62.	Valmori, D. et al., "Induction of potent antitumor CTL responses by recombinant vaccinia encoding a melan-A peptide analogue" (2000) <i>J. Immunol.</i> 164(2):1125-1131		
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66.	Ying, H. et al., "Cancer therapy using a self-replicating RNA vaccine" (1999) <i>Nat. Med.</i> 5(7):823-827		
67.	Zabrocki, J. et al., "Conformational mimicry. 1. 1,5-disubstituted tetrazole ring as a surrogate for the cis amide bond" (1988) <i>J. Am. Chem. Sci.</i> 110:5875-5880		
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